Onboarding a Registered Assistant
How-to-Process Guide

Note: To apply as a Registered Assistant, the candidate must already hold the Series 6 or 7 and either the Series 63 (with or without the Series 65) or the Series 66

Step 1: Determine the desired start date. Onboarding typically takes 2-4 weeks. Choose a start date that allows sufficient time for application approval and to prepare computer equipment, stationery, and other necessary technology.

Step 2: Computer Equipment

- Existing Computer: If using a computer previously set up by FRG IT, a new user profile will be created, and compliance settings will be reviewed. Schedule an appointment with FRG IT here: Computer Setup Appointment (typical appointment takes ~1.5 hours)
- New Computer: Call FRG IT at 704-816-8005 to discuss equipment requirements and schedule a Computer Setup Appointment (typical appointment takes ~3 hours). FRG IT must set up all new computers before engaging in any LPL/FRG business.

Step 3: Determine channel and role type - If unsure, call your FRG Business Consultant

- Joining the Institution Services (IS) or Independent Advisor Services (IAS) channel: Registered Assistant
- Joining the Institution Services (IS) channel only: Institution Program Manager (non-producing), Licensed Branch Employee (LBE) - Note: LBEs must also be Insurance Licensed

Step 4: Submit a Profile - Applicants must be approved for compliance by LPL Financial. Candidates follow this link: Advisor Profile Application. A copy of the JoinLPL Profile Guide is available as needed

- Once on the website, the candidate will select “Get Started” and enter all requested information. When completing Section 3 – Affiliation Details, the candidate must enter the following:

If joining the Institution (IS) channel:

- I know the affiliation type I should select? Select Yes, and the role agreed to in Step 3
- Do you plan on affiliating with LPL as part of a Financial Institution? Select Yes and the Financial Institution name

If joining the Independent (IAS) channel:

- I know the affiliation type I should select? Select Yes, and the role agreed to in Step 3
- Do you plan on affiliating with LPL as part of a Financial Institution? Select No
- Do you plan on joining an existing office currently affiliated with LPL? Select Yes and enter Steve Lank and the FRGIS OSJ Branch ID & FRGIS OSJ Rep ID your office is assigned to: 38W0 & P32P or 16H4 & 91YP

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- The completed profile will be submitted to LPL, and an Onboarding Partner will reach out to discuss next steps. During this process, the applicant may be asked for additional information.

Step 5: Prepare Marketing Materials – Email FRG Marketing for assistance: Marketing@lplatfrg.com

- Stationery includes email signature (required by LPL) and business cards or other branded materials, if desired
- Determine Name & Contact Info: How will the name appear on stationery (given vs. preferred name, suffixes, etc.)? What is the branch address? Phone number?
- Determine Title/Designations: Use the Resource Center to confirm the viability of the desired title and any designations that should appear on stationery
- Create Mock-Ups: Submit to A.R.T. for approval
- Order Printed Materials: After approval, order printed materials via Marketing-On-Demand or a local print vendor

Step 6: Prepare Supplemental Technology Forms* -Certain tools require forms to be submitted post-join. Common requests include:

- Add Access: RE-CWKITADO required to be signed by the supervising advisor or FI Program Manager, plus any additional Advisors to whom the assistant will need access. Must specify all applicable Rep IDs and features being granted.
- Client Reporting, Portfolio Review Tool, Remote Deposit Tool: RE-CWARP
- Albridge: F465
- WealthVision: Apply online via the Resource Center
- LPL CRM: RE-F796 (Note: Redtail, Salesforce, or Wealthbox require direct setup with the vendor)
- MyRepChat: RE-F813 for assistants to text as themselves. To text on behalf of advisor(s), advisors must go to the MyRepChat App: Settings > Add Additional Login
- Shared Resources: RE-BNEMAIL-AB for office mailboxes, printers, etc.
- Email Journaling: RE-BNEMAIL-J. Not required if the DBA email is hosted by LPL

*Always pull the most recent forms from the LPL Resource Center

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